



2822
JFW

15.20/5332

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | |
|---------------------------|---|--------------------------|
| In re Application of: |) | Examiner: Khanh B. Duong |
| Y. Maruo |) | |
| Serial No.: 09/687,197 |) | |
| Filed: October 14, 2000 |) | Art Unit: 2822 |
| For: SEMICONDUCTOR DEVICE |) | |
| AND METHOD FOR |) | |
| MANUFACTURING THE SAME |) | |
| |) | |
| |) | |

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
- ☒ The Japan Office Action for Japanese Patent Application No. 11-294126 (from which priority is claimed for US 09/687,197) dated March 23, 2004 cited the following Japanese patent reference: 9-82956. An English language abstract

and computer generated translation (the accuracy of which is not certified) have been submitted for this reference.

- B. ☐ The information disclosure statement submitted herewith is being filed
- 1) within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);
 - 2) within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
 - 3) before the mailing date of a first Office Action on the merits; or
 - 4) before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114.
- C. ☒ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
 - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
 - 2) a fee of \$180 as set forth in 1.17(p).

STATEMENT UNDER 1.97(e)

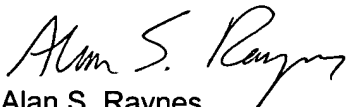
I, the person signing below, certify

- ☒ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

If required under paragraph C or D *supra*, enclosed is Applicant's check in the amount of \$180 as set forth in 1.17(p). Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585. A duplicate of this letter is enclosed for fee processing.

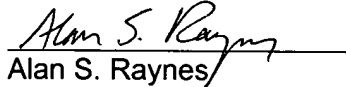
Respectfully submitted,



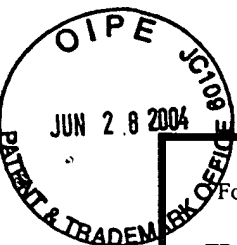
Alan S. Raynes
Registration. No. 39,809
KONRAD RAYNES & VICTOR, LLP
315 S. Beverly Drive, Suite 210
Beverly Hills, CA 90212
(310) 556-7983
(310) 556-7984 (fax)

Dated: June 22, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313-1450 on June 22, 2004.


Alan S. Raynes

6/22/04
(Date)



Form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Page

1

of

1

Complete if Known

| | |
|------------------------|------------------|
| Application Number | 09/687,197 |
| Filing Date | October 14, 2000 |
| First Named Inventor | Y. Maruo |
| Art Unit | 2822 |
| Examiner Name | Khanh B. Duong |
| Attorney Docket Number | 15.20/5332 |

U.S. PATENT DOCUMENTS

| Examiner Initials | Cite No. | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|----------------------|-------------|------------------------------|--------------------------------|--|---|
| | | Number- Kind Code (if known) | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials | Cite No. | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T |
|----------------------|-------------|---------------------------------|--------------------------------|---|--|---|
| | | Country Code- Number- Kind Code | | | | |
| | | JP- 9-82956 | 03-28-1997 | N. Mitsuhiro | | √ |
| | | | | | | |
| | | | | | | |
| | | | | | | |

NON PATENT LITERATURE DOCUMENTS

| Examiner Initials | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T |
|----------------------|-------------|--|---|
| | | Japan Office Action for Japanese Patent Application No. 11-294126 (from which priority is claimed for 09/687,197) dated March 23, 2004 (which lists 9-82956 cited above). | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Examiner
SignatureDate
Considered

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.